

FILED 28 MAR '17 12:15 USDC-ORP

Pro Se 1 (Rev. 09/16) Complaint for a Civil Case

UNITED STATES DISTRICT COURT

for the

District of _____

Case No. **3:17-CV-00498-JE**
 (to be filled in by the Clerk's Office)

JANELLE RENE BUTLER

Plaintiff(s)

(Write the full name of each plaintiff who is filing this complaint. If the names of all the plaintiffs cannot fit in the space above, please write "see attached" in the space and attach an additional page with the full list of names.)

-v-

NEUBERGER BERMAN MANAGEMENT LLC

Defendant(s)

(Write the full name of each defendant who is being sued. If the names of all the defendants cannot fit in the space above, please write "see attached" in the space and attach an additional page with the full list of names.)

Jury Trial: (check one) ☐ Yes ☐ No

COMPLAINT FOR A CIVIL CASE

I. The Parties to This Complaint

A. The Plaintiff(s)

Provide the information below for each plaintiff named in the complaint. Attach additional pages if needed.

Name

Street Address

City and County

State and Zip Code

Telephone Number

E-mail Address

JANELLE RENE BUTLER
 P.O. BOX 151
 CORNELIUS WASH CO
 OR 97113
 971-340-5854

B. The Defendant(s)

Provide the information below for each defendant named in the complaint, whether the defendant is an individual, a government agency, an organization, or a corporation. For an individual defendant, include the person's job or title (if known). Attach additional pages if needed.

Pro Se 1 (Rev. 09/16) Complaint for a Civil Case

Defendant No. 1

Name
Job or Title (if known)
Street Address
City and County
State and Zip Code
Telephone Number
E-mail Address (if known)

NEUBERGER BERMAN MANAGEMENT LLC
1290 6TH AVE
NEW YORK
NEW YORK 10104
(212) 476-9000

Defendant No. 2

Name
Job or Title (if known)
Street Address
City and County
State and Zip Code
Telephone Number
E-mail Address (if known)

J

Defendant No. 3

Name
Job or Title (if known)
Street Address
City and County
State and Zip Code
Telephone Number
E-mail Address (if known)

J

Defendant No. 4

Name
Job or Title (if known)
Street Address
City and County
State and Zip Code
Telephone Number
E-mail Address (if known)

II. Basis for Jurisdiction

Federal courts are courts of limited jurisdiction (limited power). Generally, only two types of cases can be heard in federal court: cases involving a federal question and cases involving diversity of citizenship of the parties. Under 28 U.S.C. § 1331, a case arising under the United States Constitution or federal laws or treaties is a federal question case. Under 28 U.S.C. § 1332, a case in which a citizen of one State sues a citizen of another State or nation and the amount at stake is more than \$75,000 is a diversity of citizenship case. In a diversity of citizenship case, no defendant may be a citizen of the same State as any plaintiff.

What is the basis for federal court jurisdiction? *(check all that apply)*

☐ Federal question

☒ Diversity of citizenship

Fill out the paragraphs in this section that apply to this case.

A. If the Basis for Jurisdiction Is a Federal Question

List the specific federal statutes, federal treaties, and/or provisions of the United States Constitution that are at issue in this case.

B. If the Basis for Jurisdiction Is Diversity of Citizenship

§ 1332 (c)(1) State of Incorporation Principal Place of Business
HERTZ 275

1. The Plaintiff(s)

a. If the plaintiff is an individual

The plaintiff, (name) JANELLE KENE BUTLER, is a citizen of the
State of (name) OREGON.

b. If the plaintiff is a corporation

The plaintiff, (name) _____, is incorporated
under the laws of the State of (name) _____,
and has its principal place of business in the State of (name) _____.

(If more than one plaintiff is named in the complaint, attach an additional page providing the same information for each additional plaintiff.)

2. The Defendant(s)

a. If the defendant is an individual

The defendant, (name) _____, is a citizen of
the State of (name) _____. Or is a citizen of
(foreign nation) _____.

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b. If the defendant is a corporation

The defendant, (name) NEUBERGER BERMAN MANAGEMENT, is incorporated under the laws of the State of (name) NEW YORK, and has its principal place of business in the State of (name) NEW YORK.
 Or is incorporated under the laws of (foreign nation) _____, and has its principal place of business in (name) _____.

(If more than one defendant is named in the complaint, attach an additional page providing the same information for each additional defendant.)

3. The Amount in Controversy

The amount in controversy-the amount the plaintiff claims the defendant owes or the amount at stake-is more than \$75,000, not counting interest and costs of court, because *(explain)*:

III. Statement of Claim

Write a short and plain statement of the claim. Do not make legal arguments. State as briefly as possible the facts showing that each plaintiff is entitled to the damages or other relief sought. State how each defendant was involved and what each defendant did that caused the plaintiff harm or violated the plaintiff's rights, including the dates and places of that involvement or conduct. If more than one claim is asserted, number each claim and write a short and plain statement of each claim in a separate paragraph. Attach additional pages if needed.

SEE ATTACHED LETTER

IV. Relief

State briefly and precisely what damages or other relief the plaintiff asks the court to order. Do not make legal arguments. Include any basis for claiming that the wrongs alleged are continuing at the present time. Include the amounts of any actual damages claimed for the acts alleged and the basis for these amounts. Include any punitive or exemplary damages claimed, the amounts, and the reasons you claim you are entitled to actual or punitive money damages.

SEE ATTACHED LETTER

V. Certification and Closing

Under Federal Rule of Civil Procedure 11, by signing below, I certify to the best of my knowledge, information, and belief that this complaint: (1) is not being presented for an improper purpose, such as to harass, cause unnecessary delay, or needlessly increase the cost of litigation; (2) is supported by existing law or by a nonfrivolous argument for extending, modifying, or reversing existing law; (3) the factual contentions have evidentiary support or, if specifically so identified, will likely have evidentiary support after a reasonable opportunity for further investigation or discovery; and (4) the complaint otherwise complies with the requirements of Rule 11.

A. For Parties Without an Attorney

I agree to provide the Clerk's Office with any changes to my address where case-related papers may be served. I understand that my failure to keep a current address on file with the Clerk's Office may result in the dismissal of my case.

Date of signing:

3-28-17

Signature of Plaintiff

Printed Name of Plaintiff

Janell Rene Butler
JANELLE RENE BUTLER

B. For Attorneys

Date of signing:

Signature of Attorney

Printed Name of Attorney

Bar Number

Name of Law Firm

Street Address

State and Zip Code

Telephone Number

E-mail Address

Your Honor

I am filing this class action against Neubeeg and Beerman as you can see they have already admitted in one of their letters they have done and been doing illegal activity on multiple accounts. In the transcript there were multiple accounts opened. Now today there is only 3 left. Also in my file of evidence you can see they have changed the address, put a password on the account, provided a fraudulent application, taken my grandma Betty Olson off the account, and have sent all the tax paperwork to only Barbara Butler and these accounts are in my social security number only. I have attempted to get all the phone recordings of all the misstatements and conflicting stories. Enclosed is the evidence of all these accusations and proof of the history of covering these tracks. I also filed with the SCC and that letter is enclosed. I am asking for a subpoena for all the recorded calls and the tax information along with the entire file and not just half of it. This ~~class~~ action I am filing is not only for myself but there is probably many more victims as they are a huge investment company who many are entrusting their money and trust in. So I am asking for you to hear me out in a court of law and have them suffer like I have for the investments, hassle, and all the time I have spent trying to work

with them on fixing this situation. This company needs to compensate me not only for their unfair business practices, and illegal activity but also for the money that has been disappearing and all the years of back taxes since I never received the tax paperwork nor any statements. I don't know exactly the relief I deserve back because like I said only some of the transcripts were there. Especially the ones when the accounts were first opened. So for 23 years plus I have not received all the paperwork I would need to give you an exact amount nor will they send it to me. So now I have to leave it in the courts hands to make a fair judgement and know exactly how much all these years of injustice this company has done and is still doing is worth!!

Janell Rene' Butler
Janell Rene' Butler
P.O. Box 181
Cornelius, OR 97113
971-340-5854

PAYER'S name, street address, city or town, province or state, country, ZIP or foreign postal code, and telephone no.

NEUBERGER BERMAN

Boston Service Center
P.O. Box 55218, Boston, MA 02205-5218
800-877-9700

RECIPIENT'S name, street address (including apt. no.), city or town, province or state, country, and ZIP or foreign postal code.

JANELLE RENE BUTLER
BARBARA ANN BUTLER JT WROS
821 NE HOOD ST
HILLSBORO OR 97124-2411

Copy B For Recipient

Department of the Treasury-Internal Revenue Service

RECIPIENT'S
identification
number

XXX-XX-3168

(Keep for your Records)

TAX YEAR 2016

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. You are ultimately responsible for the accuracy of your tax return.

Corrected (if checked) ☐ (OMB No. 1545-0715)

Page 1 of 1

FORM 1099-B

• PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS •

2016

Long-term transactions for which basis is reported to the IRS; report on Form 8949, Part II with Box D checked.

(1a) Description of Property	Share Price**	Quantity Sold**	(1b) Date Acquired	(1c) Date sold or disposed	(1d) Net proceeds	(1e) Cost or other basis	(1g) Wash sale loss disallowed	(4) Federal income tax withheld	(5) Non-covered security	(14) State name	(15) State Identification no.	(16) State tax withheld	Cost basis method**	Gain/ (Loss)**
Fund: LARGE CAP VALUE INVESTOR														
SHARES REDEEMED	29.710	84.147		11/11/16	2,500.00	2,473.84	0.00	0.00					ACST	26.16
FUND TOTAL:					2,500.00	2,473.84	0.00	0.00						26.16

Long-term transactions for which basis is NOT reported to the IRS; report on Form 8949, Part II with Box E checked.

(1a) Description of Property	Share Price**	Quantity Sold**	(1b) Date Acquired	(1c) Date sold or disposed	(1d) Net proceeds	(1e) Cost or other basis	(1g) Wash sale loss disallowed	(4) Federal income tax withheld	(5) Non-covered security	(14) State name	(15) State Identification no.	(16) State tax withheld	Cost basis method**	Gain/ (Loss)**
Fund: MID CAP GROWTH FUND INVESTOR CLASS														
SHARES REDEEMED	11.520	260.417		02/01/16	3,000.00	2,788.46		0.00	YES				ACST	211.54
FUND TOTAL:					3,000.00	2,788.46		0.00						211.54

Form 1099-B

** This information is not being reported to the IRS.

† Sales load basis deferral adjustment applies, please see instructions (applies to box 1e only).



PAYER'S name, street address, city or town, province or state, country, ZIP or foreign postal code, and telephone no.

Copy B For Recipient

TAX YEAR 2016

NEUBERGER BERMAN

Department of the Treasury-Internal Revenue Service

**RECIPIENT'S
identification
number**

XXX-XX-3168

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

RECIPIENT'S name, street address (including apt. no.), city or town, province or state, country, and ZIP or foreign postal code.

JANELLE RENE BUTLER
BARBARA ANN BUTLER JT WROS
821 NE HOOD ST
HILLSBORO OR 97124-2411

(Keep for your Records)

Corrected (if checked) ☐ (OMB No. 1545-0110)

Page 1 of 1

FORM 1099-DIV • DIVIDENDS AND DISTRIBUTIONS • 2016

(1a) Total ordinary dividends	(1b) Qualified dividends	(2a) Total capital gain distributions	(2b) Unrecap. sec. 1250 gain	(2d) Collectibles (28%) gain	(3) Nondividend distributions	(4) Federal income tax withheld	(6) Foreign tax paid*	(8) Cash liquidation distributions	(10) Exempt- interest dividends	(11) Specified private activity bond interest dividends	(12) State	(13) State identification no.	(14) State tax withheld
Fund: GUARDIAN FUND INVESTOR CLASS Fund-Acct. no.: 484-140171062 PAYER'S Fed. ID no.: 13-6068441													
119.92	119.92	1,627.40	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00			
Fund: MID CAP GROWTH FUND INVESTOR CLASS Fund-Acct. no.: 491-140171054 PAYER'S Fed. ID no.: 13-2556829													
20.62	20.62	437.78	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00			
Fund: LARGE CAP VALUE INVESTOR Fund-Acct. no.: 492-140171055 PAYER'S Fed. ID no.: 13-2606035													
18.41	12.04	11.53	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00			

Form 1099-DIV

*Please see instructions for additional details.

1NU28834

P



NEUBERGER BERMAN

Neuberger Berman Management LLC
P.O. Box 55218, Boston, MA 02205-5218ACCOUNT STATEMENT FOR:
LARGE CAP VALUE INVESTOR
01/01/12 THROUGH 12/31/12

ACCOUNT NUMBER

114184600

FOR YOUR NEXT INVESTMENT

\$

BETTY L OLSON (BENE ON FILE)
SUBJECT TO BFDS TOD RULES
1905 ELM ST
FOREST GROVE OR 97116-2523

Make check payable to:

Neuberger Berman Funds, Mail to:
Neuberger Berman Funds, Boston Service Center,
P.O. Box 8403, Boston, MA 02266-8403

001141846009

492

Please detach and return this portion with your next investment.

NEUBERGER BERMAN ACCOUNT STATEMENT 01/01/12 THROUGH 12/31/12

Page 1 of 1

WE WOULD LIKE TO WISH YOU AND YOUR FAMILY A HAPPY AND HEALTHY 2013.
WE APPRECIATE YOUR CONTINUED TRUST AND LOOK FORWARD TO SERVICING
YOUR INVESTMENT NEEDS FOR MANY YEARS TO COME.

TOTAL MARKET VALUE

\$0.00

ACCOUNT ACTIVITY

CONFIRM DATE	TRADE DATE	TRANSACTION DESCRIPTION	DOLLAR AMOUNT THIS TRANSACTION	SHARE PRICE	SHARES THIS TRANSACTION	SHARES OWNED
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BETTY L OLSON (BENE ON FILE)
SUBJECT TO BFDS TOD RULES

LARGE CAP VALUE INVESTOR

Beginning Balance as of JAN 1

\$25,480.55

\$24.34

1046.8590

04/20 04/20 SHARES REDEEMED

\$27,291.61

\$26.07

1,046.8590

0.0000

Total market value as of DEC 31

\$0.00

\$28.10

COST BASIS ELECTION METHOD
AVERAGE COST

Covered: Shares were purchased into the account after January 1st, 2012.

Non-Covered: Shares were purchased into the account prior to January 1st, 2012.

N/A: The acquisition date was prior to January 1st, 2012. Accordingly, these shares
are not being tracked for cost basis reporting purposes.**ACCOUNT EARNINGS YEAR TO DATE**

FUND	ACCOUNT NUMBER	INCOME DIVIDENDS	CAPITAL GAINS		TOTAL
			SHORT-TERM	LONG-TERM	
LARGE CAP VALUE INVESTOR	114184600/9	\$0.00	\$0.00	\$0.00	\$0.00

